

PATENT  
040158

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

AFT Unit: 3693

Examiner: Jagdish Patel

SYSTEM AND METHOD  
FOR ADMINISTERING  
PRINCIPAL PROTECTED  
EQUITY LINKED  
FINANCIAL INSTRUMENTS

In re Application of:  
Altomare et al.

Serial No. 09/397,704

Filed: September 16, 1999

INFORMATION DISCLOSURE STATEMENT

December 28, 2006

Mail Stop RCE  
Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

Dear Commissioner:

Applicants, in accordance with their duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advise the United States Patent and Trademark Office of the references listed on the accompanying form PTO/SB/08A (substitute for 1449A/PTO) *Information Disclosure Statement by Applicant*.

Applicants note that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97(h), the filing of this *Information Disclosure Statement* "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b)."

Applicants further note that the filing of this *Information Disclosure Statement by Applicant* is not an admission that the references cited herein constitute prior art under 35 U.S.C. §§ 102-103 with respect to the captioned application.

Respectfully submitted,

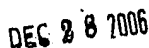
A handwritten signature in black ink, appearing to read "Christopher G. Wolfe", written over a horizontal line.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

<b>Application Number</b>	09/397,704
<b>Filing Date</b>	September 16, 1999
<b>First Named Inventor</b>	Altomare
<b>Art Unit</b>	3693
<b>Examiner Name</b>	J. Patel
<b>Attorney Docket Number</b>	040158

[illegible]

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		"Premium Exchangable Participating Shares – PEPS," Prospectus, SEC File Number 033-61915, November 16, 1995.	

Examiner  
Signature

Date  
Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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